

PTO-1390 (Rev. 12-2004)

Approved for use through 03/31/2007. OMB 0651-0021

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 1592-0152PUS1 U.S. APPLICATION NO. (If known) see 37 CFR 1.5) 207921569
INTERNATIONAL APPLICATION NO. PCT/JP2003/009173	INTERNATIONAL FILING DATE 18 July 2003	PRIORITY DATE CLAIMED 23 July 2002
TITLE OF INVENTION STOCK TRADING SUPPORT APPARATUS AND STOCK TRADING SUPPORT SYSTEM		
APPLICANT(S) FOR DO/EO/US Hideo SAKATA and Yoshie EBE		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. WO 2004/010359 A1 c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)). a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</p>		
Items 11 to 20 below concern document(s) or information included:		
<p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: PCT/IB/308; PCT/IB/304; Sixteen (16) sheets of Formal Drawings; PCT/ISA/210</p>		

DT09 Rec'd PCT/PTO 18 JAN 2005

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<p>21. The following fees are submitted:</p> <table> <tr> <td><input checked="" type="checkbox"/> a) Basic national fee</td> <td>\$300.00</td> <td>Applicant Use</td> <td>Office Use Only</td> </tr> <tr> <td><input checked="" type="checkbox"/> b) Examination fee</td> <td>\$200.00</td> <td>\$ 300.00</td> <td></td> </tr> <tr> <td><input checked="" type="checkbox"/> c) Search fee</td> <td>\$500.00</td> <td>\$ 200.00</td> <td></td> </tr> <tr> <td colspan="2">TOTAL OF ABOVE CALCULATIONS = \$1000.00</td> <td>\$ 500.00</td> <td></td> </tr> </table> <p><input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.</p> <table> <thead> <tr> <th>Total Sheets</th> <th>Extra sheets</th> <th>Number of each additional 50 or fraction thereof (round up to a whole number)</th> <th>RATE</th> </tr> </thead> <tbody> <tr> <td>70 - 100 =</td> <td>/50 =</td> <td></td> <td>x \$250.00</td> </tr> </tbody> </table> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).</p> <table> <thead> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>19 - 20 =</td> <td>0</td> <td>x 50.00</td> </tr> <tr> <td>Independent claims</td> <td>2 - 3 =</td> <td>0</td> <td>x 200.00</td> </tr> <tr> <td colspan="3">MULTIPLE DEPENDENT CLAIM(s) (if applicable)</td> <td>+ 360.00</td> </tr> <tr> <td colspan="3">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$ 1,360.00</td> </tr> </tbody> </table> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.</p> <table> <thead> <tr> <th colspan="3">SUBTOTAL =</th> <th>\$ 1,360.00</th> </tr> </thead> </table> <p>Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).</p> <table> <thead> <tr> <th colspan="3">TOTAL NATIONAL FEE =</th> <th>\$ 1,360.00</th> </tr> </thead> </table> <p>Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property</p> <table> <thead> <tr> <th colspan="3">TOTAL FEES ENCLOSED =</th> <th>\$ 1,400.00</th> </tr> </thead> </table> <table> <tr> <td>Amount to be refunded:</td> <td>\$</td> </tr> <tr> <td>Amount to be charged:</td> <td>\$</td> </tr> </table>			<input checked="" type="checkbox"/> a) Basic national fee	\$300.00	Applicant Use	Office Use Only	<input checked="" type="checkbox"/> b) Examination fee	\$200.00	\$ 300.00		<input checked="" type="checkbox"/> c) Search fee	\$500.00	\$ 200.00		TOTAL OF ABOVE CALCULATIONS = \$1000.00		\$ 500.00		Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE	70 - 100 =	/50 =		x \$250.00	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	19 - 20 =	0	x 50.00	Independent claims	2 - 3 =	0	x 200.00	MULTIPLE DEPENDENT CLAIM(s) (if applicable)			+ 360.00	TOTAL OF ABOVE CALCULATIONS =			\$ 1,360.00	SUBTOTAL =			\$ 1,360.00	TOTAL NATIONAL FEE =			\$ 1,360.00	TOTAL FEES ENCLOSED =			\$ 1,400.00	Amount to be refunded:	\$	Amount to be charged:	\$
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<p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1,400.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>02-2448</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the International Application to pending status.</p>																																																														
<p>SEND ALL CORRESPONDENCE TO:</p> <p><i>Marc S. Weiner</i></p> <p>SIGNATURE: <u>Marc S. Weiner</u></p> <p>NAME: _____</p> <p>CUSTOMER NUMBER: 02292 January 18, 2005 MSW/nl</p> <p>REGISTRATION NUMBER: <u>32,181</u></p>																																																														